



# State of Arizona

Department of Education

## Request For Grant Application (RFGA)

**RFGA Number:**

**ED08-0039**

**RFGA Due Date / Time:**

**July 24, 2008**, at 3:00 P.M. Mountain Standard Time

**Submittal Location:**

Arizona Department of Education  
Procurement Section/3<sup>rd</sup> Floor  
1535 West Jefferson Street, Bin #37  
Phoenix, Arizona 85007

**Description of Procurement:**

The Arizona Department of Education is accepting grant applications from private 501(c)(3) character education organizations to provide character education programs and training to Arizona school districts and charter schools.

**A Pre-Application Conference will not be held in conjunction with this procurement.**

In accordance with A.R.S. §41-2534, competitive Sealed Applications to provide materials or services specified will be received by the Arizona Department of Education's Contracts Management Unit at the above-specified location until the time and date cited.

Applications must be in the actual possession of the Arizona Department of Education's Contracts Management Unit on or prior to the time and date, and at the submittal location indicated above. ***Late Applications will not be considered.***

Applications must be submitted in a sealed envelope or package with the RFGA Number and the Applicant's name and address clearly indicated on the envelope or package. All Applications must be completed in ink or typewritten. Additional instructions for preparing an Application are included in this RFGA.

Persons with disabilities may request special accommodations such as interpreters, alternate formats, or assistance with physical accessibility. Requests for special accommodations must be made with 72 hours prior notice. Such requests are to be addressed to the RFGA Contact Person or Procurement Officer.

***APPLICANTS ARE STRONGLY ENCOURAGED TO CAREFULLY READ THE ENTIRE RFGA.***

Brian D. Ball  
Procurement Officer

(602) 542-4254  
Telephone Number

June 10, 2008  
Date

## APPLICATION AND AWARD



ARIZONA DEPARTMENT OF EDUCATION  
Procurement Section  
1535 West Jefferson Street, Bin #37  
Phoenix, Arizona 85007

**RFGA NO. ED08-0039**

## APPLICATION

The Undersigned hereby applies and agrees to furnish the materials, service(s) or construction in compliance with all the terms, conditions, specifications, any amendments in the Request and any written exceptions in the Application.

Applicant's Name

Name of Person Authorized to Sign Application

Street Address

Title of Authorized Person

City State Zip Code

Signature of Authorized Person Date of Application

Telephone Number: \_\_\_\_\_

Facsimile Number: \_\_\_\_\_

Applicant's Arizona Transaction (Sales) Privilege Tax License Number: \_\_\_\_\_

Applicant's Federal Employer Identification Number: \_\_\_\_\_

Acknowledgement of Amendment(s):  
(Applicant acknowledges receipt of amend-  
ment(s) to the Request for Grant Application  
and related documents numbered and dated

Amendment No. Date

Amendment No. Date

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## ACCEPTANCE OF APPLICATION AND GRANT AWARD

(For State of Arizona Use Only)

Your Application, dated \_\_\_\_\_, is hereby accepted as described in the Notice of Award. You are now bound to perform based upon the RFGA and your Application, as accepted by the State.

This Grant will henceforth be referred to as Grant Number ED08-0039-\_\_\_\_

You are hereby cautioned not to commence any billable work or provide any material, service or construction under this Grant until you receive an executed purchase order, grant release document, or written notice to proceed, if applicable.

## State of Arizona

Awarded this \_\_\_\_\_ day of \_\_\_\_\_ 2008.

\_\_\_\_\_  
Procurement Officer

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ATTACHMENTS: <i>(These standard documents must be completed and returned by the Applicant. Other documents may be required. Refer to page 6, Application Format and Content.)</i>	
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<b>REQUIREMENTS</b>
<b>RFGA NO. ED08-0039</b>

## **STATEMENT OF PURPOSE**

The Arizona Department of Education (ADE) strongly believes in the importance of providing quality instruction on character development to all school districts and charter schools in the state of Arizona. Each common, high, and unified school district and charter school may provide instruction to kindergarten programs through the twelfth grade. Each district may develop its own course of study for each grade. The school district or charter school may request that ADE certify that the character education program offered meets all requirements. Parents may elect for their child not to participate in the program.

## **FUNDING**

A Character Education Special Plate Fund has been established pursuant to ARS § 15-719. The fund consists of monies received pursuant to A.R.S. § 28-2421. The Character Education and Development Division of the Arizona Department of Education (ADE) shall distribute monies deposited in the Character Education Special Plate Fund on an annual basis to at least two but no more than four private 501(c)(3) character education organizations. The amount available to be allocated by the Department of Education to grantees is dependent upon the amount of money deposited by the Department of Transportation into the Character Education Special Plate Fund from the sale of the Character Education Special Plates. There is currently approximately \$90,000.00 in the fund.

## **MINIMUM QUALIFICATIONS**

The service provider must be able to demonstrate that its Character Education Program can adequately serve public schools in this state and, at a minimum, meets all of the following requirements:

1. is a private nonprofit 501(c)(3) character education organization incorporated in the state of Arizona.(A copy of the IRS letter indicating the organization's 501(c)(3) status is required to be included with application.)
2. has provided character education programs in this state for a period of not less than three years.
3. be able to demonstrate how the character education programs they provide utilize proven and effective, research-based curriculum and training.
4. the character education program must include:
  - A. Instruction in the definition and application of at least six of the following traits:  
Truthfulness, Responsibility, Compassion, Diligence, Sincerity, Trustworthiness, Attentiveness, Virtue, Forgiveness, Respect, Obedience, Fairness, Caring, Citizenship, and Integrity.
  - B. The use of activities, discussions, visual media and/or literacy presentations to illustrate and reinforce the application of the character traits.
  - C. Presentations by teachers or mentors who demonstrate the character traits.
  - D. Benefit at least one of the following populations/audiences: students, educators, administrators, school counselors, and/or after school programs.

The curriculum and training programs provided to the school districts and charter schools must be approved by ADE prior to making it available to the school districts and charter schools and must meet all the requirements listed above.

<b>REQUIREMENTS</b>
<b>RFGA NO. ED08-0039</b>

## **REPORTING REQUIREMENTS**

1. The grantee shall provide ADE with an outline of the character education curriculum and training that will be provided to schools prior to use in association with this grant.
2. The grantee shall submit an annual report to the Department of Education by May 1 containing at least the following information:
  - A list of school districts and charter schools that benefited from character education curriculum and training since July 1 of the current term of the contract.
  - Description of curriculum and training provided to those schools, who participated, and outcomes.
  - All evaluation tools and reports used by the organization showing the effectiveness of instruction on character traits.
  - An action plan for continuing and improving the programs being offered along with any new programs being considered.

## INSTRUCTIONS TO APPLICANTS

RFGA NO. ED08-0039

### **HOW TO PREPARE AND SUBMIT APPLICATION**

1. Read and familiarize yourself with all sections of this RFGA.
2. **Definition of Terms Used in this RFGA.**
  - A. **“Activities”** are day-to-day and periodic events that are accomplished to meet the goal(s). They are usually single-faceted, simply stated and numerous.
  - B. **“ADE”** means the Arizona Department of Education.
  - C. **“Department”** means the Arizona Department of Education.
  - D. **“Shall or Must”** indicates a mandatory requirement. Failure to meet these mandatory requirements may result in the rejection of an application as non-responsive.
3. **Required Application Information.** The following shall be submitted concurrent with and as part of the Application:
  - A. Application and Award Form;
  - B. Grant Administration;
  - C. Applicant’s Experience;
  - D. Applicant’s Organization;
  - E. Applicant’s Key Personnel;
  - F. Applicant’s Financial Disclosure;
  - G. Applicant’s Checklist; and
  - H. RFGA Amendments (if any)
4. **Authorized Signature.**
  - A. For any document that requires the Applicant’s signature, the signature provided must be that of the Corporate Officer duly authorized to sign Grant agreements. Additionally, if requested by ADE, disclosure of ownership information shall be submitted. A Corporate Officer must sign the grant application.
  - B. If a person other than these specified individuals signs the grant application, a Power of Attorney indicating the employee’s authority must accompany the grant application. All addenda to the grant application shall be signed by the authorized individual who signed the grant application except that they may be signed by a duly authorized designee.
5. **Multiple Awards.** ADE shall award grants to at least two but no more than four qualified applicants. The actual utilization of any grant will be at the sole discretion of the LEAs.
6. **Award Basis.** The successful applicant(s) will be determined by Evaluation Criteria including but not limited to Applicant’s experience and satisfaction of all stated requirements.

ADE reserves the right to cancel the grant if an applicant receives an award and is unable to meet the needs of the grant, or fails to accept assignment within a reasonable period of time as determined by ADE.
7. Applications shall be irrevocable offers for 120 days after the RFGA due date.

## INSTRUCTIONS TO APPLICANTS

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### 8. Application Format and Content.

- A. **One clearly marked original and 5 copies** of applications shall be submitted. If the Applicant finds it necessary to take exception(s) to any of the requirements specified in this RFGA, clearly indicate each such exception in the application along with a complete explanation of why the exception was taken and what benefit accrues to the State thereby. All substantive exceptions and supporting rationale shall be identified as such and consolidated into one section of the Application.
- B. To facilitate evaluation the Application must be specific, and complete to clearly and fully demonstrate the Applicant has a thorough understanding of the requirement, can provide detailed information and related experience concerning previous performance of similar services. The Application should provide the evaluator with a clear description of the activities for which funding under this grant is requested.
- C. The Application should describe how the curriculum and training to be provided meets all the requirements listed on page 3 of this solicitation and should clearly indicate the requirement as they are being addressed within the application.

### 9. Evaluation and Selection. Evaluation shall be performed pursuant to A.R.S. § 41-2702 F.

Evaluation of applications may be accomplished in four steps.

- A. Step One. Initial review of application to determine if it includes all required information.
- B. Step Two. Evaluation of application to assess if the Applicant meets all minimum requirements set forth in the Solicitation.
- C. Step Three. (Optional) Discussions with Applicants. This step includes requests for Final Application Revisions from Applicants still considered susceptible of winning Grant award(s).
- D. Step Four. Grant award(s) made to the responsible Applicant(s) whose application(s) is determined to be the most advantageous to the State.

### 10. Discussions. In accordance with A.R.S. § 41-2534, after the initial receipt of applications, the ADE reserves the option to conduct discussions with those Applicants who submit applications determined by the State to be reasonably susceptible of being selected for award.

### 11. Final Application Revisions.

- A. In the event the Procurement Officer determines discussions are required, discussions on the areas, items, and factors specified in this Solicitation will be held with all Applicants determined to be in the competitive range.
- B. The Applicant is permitted to make revisions during negotiations.
- C. Discussions will be concluded when a mutual understanding has been reached with each Applicant remaining in the competitive range. This mutual understanding will become the basis for the Applicant's Final Application Revision.
- D. The Final Application Revision must be returned, signed and dated by the Applicant within the time and date specified to be eligible for award.

## GRANT TERMS & CONDITIONS

RFGA NO. ED08-0039

### TERMS AND CONDITIONS

1. **Incorporation by Reference.** The State of Arizona's Uniform Terms and Conditions are hereby incorporated by reference. These documents may be accessed through Arizona Department of Administration Enterprise Procurement Services website [www.azdoa.gov/spo](http://www.azdoa.gov/spo), by manually calling the State Procurement Office at (602) 542-5511, or by calling the Department of Education's Contracts Management Unit at (602) 364-2517. *It is the Applicant's responsibility to obtain the current revision of these documents.*
2. **Grant Term.** The initial term of this Grant shall commence on the date that the Procurement Officer signs the Application and Acceptance form and will remain in effect through June 30, 2009, unless terminated, canceled, or extended as otherwise provided herein.
3. **Option to Renew Grant.** This Grant shall not bind nor purport to bind ADE and the Grantee for any grant commitment in excess of the original grant term. ADE shall have the right, at its sole option, to renew the Grant, in one-year increments, not to exceed a total grant term of five years. If ADE exercises such rights, all terms, conditions and provisions of the original Grant shall remain the same and apply during the option terms.
4. **Grant Modifications.** Any change in this Grant, including the Scope of Work, shall only be accomplished by a formal, written grant modification, signed by the Procurement Officer. Any such modification shall be within the scope of the grant and shall specify the change; any increase or decrease in Grant amount and the effective date of the change. The Grantee expressly and explicitly understands and agrees that no other method and/or no other document, including correspondence, acts and oral communications by or from any person, shall be used or construed as a modification to this Grant.
5. **Records.** Under A.R.S. §35-214 and §35-215, the Grantee shall retain and shall contractually require each subcontractor to retain all data and other records ("records") relating to the acquisition and performance of the Grant for a period of five years after the completion of the Grant. All records shall be subject to inspection and audit by the State at reasonable times. Upon request, the Grantee shall produce a legible copy of any or all such records.
6. **Suspension or Debarment Status.** If the firm, business or person submitting this Application has been debarred, suspended or otherwise lawfully precluded from participating in any public procurement activity, including being disapproved as a Grantee with any Federal, state or local government or if any such preclusion from participation from any public procurement activity is currently pending, the Applicant shall fully explain the circumstances relating to the preclusion or proposed preclusion in the Application. The Applicant shall include a letter with its Application setting forth the name and address of the governmental unit, the effective date of this suspension or debarment, the duration of the suspension or debarment, and the relevant circumstances relating to the suspension or debarment. If suspension or debarment is currently pending, a detailed description of all relevant circumstances including the details enumerated above shall be provided. The Application of an Applicant who is currently debarred, suspended or otherwise lawfully prohibited from any public procurement activity shall be rejected.



## GRANT TERMS & CONDITIONS

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7. **Suspension or Debarment Certification.** By signing the Application section of the Application and Award page, the Applicant certifies that the firm, business or person submitting the Application has not been debarred, suspended or otherwise lawfully precluded from participating in any public procurement activity with any Federal, State or local government. Signing the Application section without disclosing all pertinent information about a debarment or suspension shall result in rejection of the Application or cancellation of a Grant. ADE also may exercise any other remedy available by law.
8. **Termination for Convenience.** The State reserves the right to terminate the Grant in whole or in part at anytime when in the best interests of the State without penalty or recourse. Upon receipt of the written notice, the Grantee shall immediately stop, as directed in the notice, notify all subcontractors of the effective date of the termination and minimize all further costs to the State. In the event of termination under this paragraph, all documents, data and reports prepared by the Grantee under the Grant shall become the property of and be delivered to the State. The Grantee shall be entitled to receive just and equitable compensation for work in progress, work completed and materials accepted before the effective date of the termination. The cost principles and procedures provided in A.A.C. R2-7-701 shall apply.
9. **Termination for Default.**
  - A. The State reserves the right to terminate the Grant in whole or in part due to the failure of the Grantee to comply with any term or condition of the Grant, to acquire and maintain all required insurance policies, bonds, licenses and permits, or to make satisfactory progress in performing the grant. The Procurement Officer shall mail written notice of the termination and the reasons for it to the Grantee.
  - B. Upon termination under this paragraph, all goods, materials, documents, data and reports prepared by the Grantee under the Grant shall become the property of and be delivered to the State on demand.
  - C. The State may, upon termination of this Grant, procure, on terms and in the manner that it deems appropriate, materials or services to replace those under this Grant. The Grantee shall be liable to the State for any excess costs incurred by the State in procuring materials or services in substitution for those due from the Grantee.
10. **Availability of Funds for the Next Fiscal Year.** Funds may not presently be available for performance under this Grant beyond the current fiscal year. No legal liability on the part of the State for any payment may arise under this Grant beyond the current fiscal year until funds are made available for performance of this Grant. The State shall make reasonable efforts to secure such funds.
11. **Audit.** Pursuant to A.R.S. §35-214, at any time during the term of this Grant and five years thereafter, the Grantee's or any subcontractor's books and records shall be subject to audit by the State and, where applicable, the Federal Government, to the extent that the books and records relate to the performance of the Grant.
12. **Grantee's Obligation Regarding Confidentiality.**
  - A. Due to the sensitive nature of the information maintained by ADE, the Grantee acknowledges that all information disclosed to it concerning ADE's operations during performance of this Grant shall not be disclosed to third parties without the ADE's prior written consent.
  - B. All proprietary information and all copies thereof shall be returned to ADE upon completion of the work for which it was obtained or developed.

## GRANT TERMS & CONDITIONS

RFGA NO. ED08-0039

- 13. Key Personnel.** It is essential the Grantee provide an adequate staff of experience personnel, capable of and devoted to the successful accomplishment of work performed under this Grant. The Grantee must assign specific individuals to key positions of responsibility (as identified on Attachment 4). Once assigned to work under this Grant, key personnel shall not be removed or replaced without prior express written approval of the Procurement Officer.
- 14. Technical Assistance.** The Grantee may request technical assistance from ADE relative to this Grant. ADE may, but shall not be obligated to provide technical assistance to the Grantee in administering Grant services. Notwithstanding the foregoing, the Grantee shall not be relieved of full responsibility and accountability for provision of Grant services in accordance with the terms and conditions of this Grant.
- 15. Compliance With Non-Discrimination Laws.** The Grantee shall comply with the following:

  - A. Title VI of the Civil Rights Act of 1964, as amended, which prohibits the denial of benefits of our participation in grant services on the basis of race, color, or national origin.
  - B. Title VII of the Civil Rights Act of 1964, as amended, the Age Discrimination in Employment Act, and State Executive Order No. 99-4, which mandate that all persons, regardless of race, color, religion, sex, age, national origin or political affiliation, shall have equal access to employment opportunities.
  - C. The Americans With Disabilities Act of 1990 (Public Law 101-336) and the Arizona Disability Act of 1992 (A.R.S. §41-1492 et. seq.), which prohibit discrimination on the basis of physical or mental disabilities in delivering grant services or in the employment, or advancement in employment of qualified individuals.
- 16. Licenses.** Grantee shall maintain, in current status, all Federal, State and local licenses and permits required for the operation of the business conducted by the Grantee.

## GRANT ADMINISTRATION

RFGA NO. ED08-0039

**Payments.** The Grantee will be paid based on the amount available in the fund and the number of grants awarded. The amount is also determined by the need as determined by the initial evaluation and award of the grants.

### Contacts

- a. **Mailing of Payments.** Address to which payment should be mailed, if different than that listed on the Application and Award Form.

\_\_\_\_\_  
(Company Name)

\_\_\_\_\_  
(Street Address)

\_\_\_\_\_  
(City & State) (Zip Code)

- b. **Grantee representative** to contact for Grant administration purposes:

\_\_\_\_\_  
(Name and Title)

\_\_\_\_\_  
(Street Address)

\_\_\_\_\_  
(City & State) (Zip Code)

\_\_\_\_\_  
(Telephone & Facsimile Numbers)

\_\_\_\_\_  
(E-mail Address)

- c. The ADE representative to contact for technical matters concerning Grant performance (NOTE: this person is not authorized to direct Grantee performance or make changes in Grant requirements.)

Joan Bartz  
Director of Character Education  
1535 W Jefferson Street, Bin #18  
Phoenix, AZ 85007  
Phone: (602) 542-3895  
FAX: (602) 542-2289  
E-mail: [joan.bartz@azed.gov](mailto:joan.bartz@azed.gov)

- d. All Grant administration matters will be managed by the Procurement Officer named below. All correspondence concerning this Grant shall be directed to this individual.

Brian D. Ball  
Procurement Officer  
1535 West Jefferson Street, Bin #37  
Phoenix, Arizona 85007  
Phone: (602) 364-2517  
FAX: (602) 364-0598  
E-mail: [brian.ball@azed.gov](mailto:brian.ball@azed.gov)

<b>ATTACHMENT 1</b> <b>APPLICANT'S EXPERIENCE</b>
<b>RFGA NO. ED08-0039</b>

**Applicant shall submit three (3) completed and signed forms as part of its Application.**

Applicants are required to submit information about PAST experience to verify program performance using this form. Insert the information as requested. Responses shall include the details of at least three individual contracts for services related to those described in this RFGA. These references should indicate character education programs being provided for a period of at least 3 years.

Reference Contract Title: \_\_\_\_\_

Contract Term / Dates of Work \_\_\_\_\_ through \_\_\_\_\_ Geographic Area Served \_\_\_\_\_

Target Population Served \_\_\_\_\_

Narrative (Shall include the results (outcomes achieved, objectives met) of past experiences of each contract and the NUMBER of past contracts the Applicant has had with experience similar to those described in this RFGA):

Reference: Company: \_\_\_\_\_

Contact Name and Title: \_\_\_\_\_

Telephone: \_\_\_\_\_ Address: \_\_\_\_\_ City/State/Zip: \_\_\_\_\_

## ATTACHMENT 2 APPLICANT'S ORGANIZATION

RFGA NO. ED08-0039

### INSTRUCTIONS:

**Applicants shall complete each item, using attachments where necessary. Attachments shall indicate the item number and heading being referenced as it appears below. Failure to make full and complete disclosure may result in the rejection of applications as unresponsive.**

- |    |  |  |                          |                          |
|----|--|--|--------------------------|--------------------------|
| 1. | General Information:   |  |                          |                          |
|    | A. When was the Applicant's organization formed? _____   |  |                          |                          |
|    | B. Provide a copy of the letter from IRS verifying 501(c)(3) status.   |  |                          |                          |
|    | C. Provide a list of the names and addresses of the Board of Directors.  |  |                          |                          |
|    |  |  | <b><u>YES</u></b>        | <b><u>NO</u></b>         |
| 2. | <u>Administrative Agent</u><br>Is the Applicant acting as an administrative agent for any other agency, firm, or governmental agency? <i>(If YES, provide a description of the relationship in both, legal and functional aspects.)</i>  |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. | <u>Civil Rights Compliance Data</u><br>Has any Federal or State agency ever made a finding of noncompliance with any relevant civil rights requirements with respect to the Applicant's business activities? <i>(If YES, provide an explanation.)</i>  |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. | <u>Prior Felony Conviction(s)</u><br>Has the Applicant, its major stockholders with a controlling interest, or its officers been the subject of criminal investigations or prosecutions or convicted of a felony? <i>(If YES, provide an explanation.)</i>   |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. | <u>Suspension or Exclusion From Federal or State Program(s)</u><br>Has the Applicant ever been suspended or excluded from any Federal or State Government program for any reason? <i>(If YES, provide an explanation.)</i>   |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. | Does the Applicant have sufficient funds to meet obligations on time under the grant while awaiting payment from ADE? <i>(If NO, provide an explanation.)</i>  |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. | Have any licenses ever been denied, revoked or suspended or provisionally issued within the past five (5) years? <i>(If YES, provide an explanation.)</i>  |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. | Has the Applicant or the Applicant's firm terminated any grants, had any grants terminated, or been involved in grant lawsuits? <i>(If YES, provide an explanation.)</i>   |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. | Does the Applicant, its staff, relatives, or voting members of the Board of Directors maintain any ownership's, employment's, public and private affiliations or relationships which may have substantial interest (as defined in A.R.S. 38-502, Conflict of Interest) in any grant, sale, purchase, or service involving ADE? <i>(If YES, provide a full explanation of the situation.)</i> |  | <input type="checkbox"/> | <input type="checkbox"/> |

<b>ATTACHMENT 3</b>
<b>APPLICANT'S KEY PERSONNEL</b>
<b>RFGA NO. ED08-0039</b>

[illegible]

# ATTACHMENT 4

## APPLICANT'S FINANCIAL DISCLOSURE

RFGA NO. ED08-0039

Complete each item, using attachments where necessary. If attachments are used, indicate the item number and question being referenced as it appears below.

		<u>YES</u>	<u>NO</u>
1.	Is the Applicant's firm qualified as a Character Education Organization under Section 501(c)(3) of the Internal Revenue Code? <i>(If YES, Provide a copy of the determination letter with application.)</i>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Are the Applicant's accounting records maintained in accordance with Generally Accepted Accounting Principles (GAAP)?	<input type="checkbox"/>	<input type="checkbox"/>
3.	Does the Applicant have an accounting manual?	<input type="checkbox"/>	<input type="checkbox"/>
4.	Does the Applicant's firm prepare a public annual financial statement? <i>(If YES, provide a copy of the MOST RECENT annual financial statement with application.)</i>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Does the Applicant's firm have interim financial statements prepared? <i>(If YES, specify how often.)</i> _____	<input type="checkbox"/>	<input type="checkbox"/>
6.	Is the Applicant's firm audited by an independent auditor? <i>(If YES, answer A thru D below.)</i>	<input type="checkbox"/>	<input type="checkbox"/>
A.	How often are audits conducted? _____		
B.	By whom are they conducted: _____ _____		
C.	Provide a copy of the Applicant's most recent audit report and corresponding financial statements. Include reports of Internal Control and Compliance with Federal/Local regulations, if applicable.		
D.	Does the Applicant's firm have any uncorrected audit exceptions?	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does the Applicant's firm have a formal basis to allocate indirect costs charged to this Grant? <i>(If YES, submit a copy of the allocation plan with application.)</i>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Are there any suits, judgments, tax deficiencies, or claims pending against the Applicant's firm? <i>(If YES, answer A and B below.)</i>	<input type="checkbox"/>	<input type="checkbox"/>
A.	What is the dollar amount? \$ _____		
B.	In which state(s)? _____		
9.	Has the Applicant's firm ever gone through bankruptcy?	<input type="checkbox"/>	<input type="checkbox"/>

## ATTACHMENT 5 APPLICANT'S CHECKLIST

**RFGA NO. ED08-0039**

*Instructions: Applicants must submit the items listed below. In the column titled "Applicant's Page #", the Applicant must enter the appropriate page number(s) from its Application where the ADE evaluators may find the Applicant's response to that requirement.*

Required Item	RFGA Reference:	Applicant's Application Page #:
1. <u>1</u> Original and <u>5</u> Copies of Application Package.	Page 6 Paragraph 8	
2. Application and Award Form Signed	Page 1	
3. RFGA Amendment(s), if any.	N/A	
4. Grant Administration	Page 10	
5. Applicant's Checklist	Attachment 5	
6. Applicant's Experience	Attachment 1	
7. Applicant's Organization	Attachment 2	
8. Applicant's Key Personnel	Attachment 3	
9. Applicant's Financial Disclosure	Attachment 4	
10. Copy of Letter from IRS indicating 501(c)(3) Status	Page 3 (Minimum Qualifications)	